



Forest Stewardship Council®



International Generic Indicators

Completion Report





International Generic Indicators Completion Report

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1. Introduction

On November 07, 2014 the final draft of the International Generic Indicators (IGIs) was endorsed by the IGI Working Group. The purpose of this *IGIs Completion Report* is to summarize how the consultation feedback to the second draft of the IGIs and field test results have been incorporated into the final draft of the IGIs.

2. Process to reach the Final Draft

The following steps lead to the endorsement of the final draft of the IGIs:

2014	Activity
January 15	Second draft of the IGIs sent out for consultation
March 31	Consultation on second draft closes. 218 different sets of comments received. Six Field test reports submitted.
April 8	IGI Group conference call to review summary of second draft feedback. Discuss emerging themes and preliminary drafting rules.
April 15	Preliminary field test results reviewed and drafting rules discussed and agreed upon in principle by the IGI Working Group.
May 1	IGIs Draft 2-1 of all 10 Principles circulated to the IGI Group. These are reviewed and discussed through conference calls held twice a week leading to Bonn meeting in May.
May 7	Scale, Intensity and Risk (SIR) Task Force established to develop methodology for the application of scale, intensity and risk. The Task Force is comprised of PSU staff.
May 22	IGIs Draft 2-2 of all Principles circulated to the IGI Group.
May 25-30	IGI Group face-to-face meeting in Bonn to review and revise IGI Draft 2-2 and reach substantive agreement on most of the language. Detailed project completion timeline is agreed upon. A refined methodology for the application of scale, intensity and risk agreed upon as well.
June 26	IGI Working Group endorsement of the content of the IGIs. The Glossary and the SIR methodology are in the process of completion.
July - August	Further development of the Glossary, the SIR Guideline and finalization of Annexes in the draft IGIs.
September	Establishment of SIR Advisory Group, with members of the IGI Group, the Small-holder Network Advisory Group (SHNAG) and the Transfer Procedure Working Group. Side Event at the General Assembly to inform about timelines and final stakeholders review.
October-November	Finalization of Glossary, SIR Guideline and Annexes of the final draft of the IGIs.
November 7	Final draft of the IGIs and SIR Guideline endorsed by the IGI Working Group.



December 5	Launch of IGIs & SIR final stakeholders review.
2015	Activity
January	Gathering feedback from final stakeholders review.
February	Policy and Standards Committee meeting to analyze IGIs Final Draft and SIR Guide-line.
March	Board of Directors meeting. Expected to include in agenda the IGIs Final Draft and SIR Guideline to make a decision on their approval.

3. Input to Final Draft

There were two primary inputs to inform the revisions to IGIs second draft: written consultation feedback and field test results. These are summarized separately below.

In addition to these two main sources, a set of Regional Workshops took place in the 6 FSC Regions. These meetings gathered together staff from FSC International with Network Partners and Standard Development Groups representatives, in order to present the second draft of the IGIs and provide support for the second consultation at national level. As a result of these workshops, some feedback was directly gathered by the FSC staff and considered when developing the final draft of the IGIs.

3.1 Consultation Feedback

Written feedback to IGIs second draft was received from 218 individuals, companies, organizations and Network Partners. This compares to 196 submissions received to the first draft of the IGIs.

Feedback to the second draft was received in four different formats:

1. On-line Survey submissions (Survey Monkey);
2. Printable PDF Survey submissions;
3. General written submissions;
4. Specific written submissions.

This feedback was split into 'Specific' and 'General' comments, which were analyzed separately.

Specific comments from 152 individuals, companies, organizations and Network Partners were directed at specific indicators and specific Notes in the second draft. Specific written comments were summarized using summary tools in Survey Monkey. In addition to this, summary reports of comments received from each sub-chamber were produced. The drafters of the process reviewed this information in detail during the development of the next draft of the IGIs (draft 2-1).

General comments from 66 individuals, companies, organizations and Network Partners were directed at overarching issues and themes. This information was summarized, analyzed to understand the emerging themes and used to inform the development of the drafting rules.



3.2 Field Test Results

Six field tests were conducted using the second draft of the IGIs in the following regions and with the support of the following Certification Bodies:

Location	Certificate Holder	Certification Body	Type of Management Unit
Brazil	Jari Celulose	SCS	Plantation
Tanzania	Mpingo	Soil Association	Community / Group
China	Gungxi Stora Enso	Bureau Veritas	Natural / plantation
Congo	Loundougou	SGS	Natural forest
Switzerland	Group AWA	SGS	Group
Canada	Tembec	Rainforest Alliance	Natural forest

Four different report formats were used to provide field test results. This resulted in outputs that were not always directly comparable. However, emerging themes from the field tests were broadly similar to the feedback received from the written consultation feedback.

The vast majority of the field test results indicated that the indicators in the second draft of the IGIs were auditable. Specific suggestions to improve the indicators language were provided for approximately 25% of the indicators. Less than 10% of the indicators were considered to be problematic or non-auditable. Eloquently, only in three instances did more than two field tests identify the same indicator as non-auditable.

4. Emerging themes

Emerging themes from the consultation feedback and field test results were analysed and used as input for the development of the drafting rules as follows:

- General submissions were read and approximately 20-25 key issues were identified. These key issues were then joined into a smaller subset of key issues that could potentially be addressed by applying existing drafting rules or by developing new drafting rules;
- Some Regional and Certification Body representatives from the IGI Group provided their own analysis and these were reviewed and incorporated;
- Emerging themes were then further refined and a list of key issues was presented to the IGI group for review;
- Representative search words for each of these key issues were assigned. Each of these search words was then used to analyze the specific comments received; and
- The analysis of specific comments produced an occurrence frequency for each of the key issues, which was further refined to understand the key issues for each chamber.



The following key issues were agreed upon for the second draft of the IGIs:

Key Issue	Comments
Notes	<p>There are 4 types of Notes:</p> <ol style="list-style-type: none"> Notes that contain performance, content, detail and / or thresholds; Notes that contain undefined terms; Notes that paraphrase the Criterion, provide examples, cross reference other indicators or provide verifiers; and Notes that provide specific instruction to standards developers on SIR, national applicability and related issues.
Redundant indicators	These are often within the same Criterion but also are in different Criteria and different Principles.
Overly complex indicators	These are typically long lists, but also may contain overly technical language and / or poor grammar.
External references	These include the FPIC Guide, ILO conventions and FSC HCV Guidance.
Applicability and SIR	Applicability means that the indicator may not apply generically to all forest management systems including plantations, natural forest management, mega-operations and small-scale operations.

5. Drafting Rules

In addition to the drafting rules used to produce the second draft of the IGIs, and based on the analysis of the consultation feedback and the field test results, the following Drafting Rules were agreed upon:

Key Issue	Drafting Rule
Notes with performance	Turn into indicators to maintain performance, when the content of the Note is under the scope ¹ of the Criterion and the resulting indicator is globally applicable.

¹ Indicators are considered to be 'within scope' when they support one or more of the following:

- Implementing the criterion and/or the principle (in those limited cases where a principle is not covered by a criterion).
- Addressing the documents used as an input for the development of the IGIs (e.g. The P&C Explanatory Notes, the plantation WG report, the stakeholders survey, etc.).
- Providing the necessary foundation for other indicators to properly function.



Notes with undefined terms	Use terms already defined or define the term in the Glossary.
Notes that paraphrase	Delete, based on case by case analysis.
Notes on applicability and SIR	Turn into 'Instructions for Standards Developers' or include content in the SIR Guideline.
Redundant indicators	Delete only where performance elements are not lost. Observe Drafting Rules for second draft of the IGIs.
Overly complex indicators	Make into 2 or more indicators, or propose alternative indicators.
External references	Do not paraphrase these but refer to them directly, usually in "Instructions for Standards Developers". Note that FSC HCV Guidance is in draft form.
Applicability and SIR	Observe Drafting Rules for second draft of the IGIs. SIR is addressed by the SIR Guideline.

6. Outcomes

In addition to being more coherent and easier to understand, the final draft of the IGIs has four unique outcomes:

- Instructions for Standards Developers;
- The use of annexes;
- Additional glossary terms; and
- Reduced number of indicators.
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6.1 Instructions to Standards Developers

The final draft of the IGIs does not have any Notes, but rather has 'Instructions for Standards Developers'. These instructions are normative and are intended to:

1. Provide advice to Standards Developers on how to adapt the IGIs to their national context, and the need for adding national thresholds or best practices;
2. Suggest content and sources of information for the development of standards at national level;
3. Clarify the applicability of indicators;
4. Explain the logic of a group of indicators;
5. Explain the connection between indicators in different Criteria and Principles.

This information is directed to Standards Developers, including Certification Bodies in countries that do not have Standards Development Groups. The objective is to support the Transfer Process (development and transfer of National Forest Stewardship Standards to the Principles and Criteria Version 5).



6.2 The use of Annexes

The second draft of the IGIs contained only one annex, summarizing applicable laws in Principle 1. The purpose of this annex was to provide guidance to Standards Developers on how to complete the list of applicable laws for their jurisdiction.

The final draft of the IGIs contains eight annexes, which serve a similar purpose to the annex in Principle 1, but for specific requirements in different Principles. The use of these annexes is normative and dependent on the specific requirements according to the following table:

Annex	Title	Application for Standards Developers
Principle 1, Annex A	Examples of applicable laws, regulations and nationally ratified international treaties, conventions and agreements.	Standards developers shall adapt this Annex to ensure that all applicable national and regional laws are included or referenced in the National Forest Stewardship Standard or the Locally Adapted Standard.
Principle 2, Annex B	Training requirements for relevant workers.	Standards developers shall adapt this Annex to national training requirements, subject to scale, intensity and risk.
Principle 5, Annex C	Claims for Ecosystem Services.	Standards Developers shall ensure that when The Organization makes FSC promotional claims regarding the provision of ecosystem services, the listed requirements are met.
Principle 6, Annex D	Conservation Area Network conceptual diagram.	Standards Developers shall use this diagram to inform the development of appropriate guidance at the national and regional level for the creation of Conservation Area Networks.
Principle 7, Annex E	Elements of the management plan.	Standards Developers shall ensure that the relevant elements of this Annex are included in the requirements for the content of Management Plans, subject to scale intensity and risk and consistent with national and regional management planning frameworks.
Principle 7, Annex F	Conceptual framework for planning / monitoring.	Standards Developers may use this diagram to inform the periodicity for revision of the various management planning and monitoring documents.
Principle 8, Annex G	Monitoring requirements.	Standards Developers shall ensure that the relevant elements of this Annex are included in the requirements for the content of Moni-



Annex	Title	Application for Standards Developers
		toring Plans, consistent with existing national and sub-national monitoring approaches and subject to scale intensity and risk.
Principle 9, Annex H	Strategies for maintaining High Conservation Values.	Standards Developers shall consider this Annex to inform the development of management strategies to maintain High Conservation Values.

6.3 Additional Glossary terms

Additional glossary terms have been developed for a limited number of terms in order to reduce the number of indicators, ensure consistent application of the IGIs and clarify the intent of indicators. Totalling 33, these glossary terms are taken from existing glossaries and dictionaries where available. In other cases, PSU staff has developed definitions with assistance from the drafters and members of the IGI Group. All these glossary terms have been endorsed by the IGI Working Group and merged with the existing glossary of the Principles and Criteria. All terms are included in the Glossary of Terms of the IGIs.

6.4 Reduced number of indicators

The IGI final draft has considerably fewer indicators than the first draft of the IGIs. The following table summarizes the changes from the first draft, through the second draft and to the final draft of the IGIs:

Principle	1	2	3	4	5	6	7	8	9	10	TOTAL
IGIs Draft 1	32	33	31	46	24	58	27	16	17	58	342
IGIs Draft 2	21	22	16	21	14	32	12	11	13	35	197
IGIs Final Draft	24	28	16	19	13	29	13	9	13	38	202